WASHINGTON STATE ARCHIVES AND RECORDS MANAGEMENT

LOCAL RECORDS PILOT GRANT PROGRAM

Guidebook and Application

For the Year July 1, 2002 to June 30, 2003

F. Gerald Handfield Jr.
Washington State Archivist

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This booklet is designed for local officials who wish to apply for a Local Records Pilot Grant. The Washington State Archives encourages local government officials to discuss their projects with their regional archivists before writing an application. All local government agencies are encouraged to participate. The grant program is competitive, awarding grants based on the merits of applications. The funding is $100,000 with an award up to $20,000 in each of the five Washington State Archives regions. The application deadline is August 1, 2001.

FY 2003 Application Deadline August 1, 2002

Applications **MUST** be received or postmarked by the deadline date.

Faxed applications will **not** be accepted

Submit the signed original application plus five (5) photocopies. **Do not staple, permanently secure or place the original in any type of binding or folder;** secure it with a binder clip or paper clip. Copies must be stapled.

Submit Applications to:

> Washington State Archives
> Attn: Grant Program
> 1129 Washington Street SE
> Olympia, WA 98504-02

TIMETABLE FOR 2002-2003 GRANT PROJECTS

August 1, 2002	**Grant applications must be postmarked by this date**
July – August	**Archives staff visits assistance and guidance**
September-October	**Oversight committee review and recommendation**
November-December	**State Archivist/Secretary of State review and decision**
January, 2003	**Grant projects may begin**
June 30, 2003	**All work on grant projects must be complete**

1. PROGRAM DESCRIPTION AND GUIDELINES

1.1 INTRODUCTION

The Washington State Archives Local Records Grant Program is beginning a pilot grant program in 2002. This financial assistance supports local public records management and preservation efforts. Grants are funded with fees collected by County Auditors. During the pilot program $100,000 will be available. This is a competitive grant program; the number of grant applications and the requested level of grant funding generally will exceed the total award amount available per grant cycle. Grants are reviewed by Washington State Archives staff and forwarded to the Washington State Archives Oversight Committee. The committee will review and make funding recommendations to the Secretary of State.   The grants are awarded by the Secretary of State on the Committee's advice and recommendation. The grant program project duration will be for a six month period in the pilot year beginning January 1, 2003 and ending June 30, 2003.

Thereafter the Oversight committee shall review submitted grant proposals and projects in the last 6 months of every odd numbered year. The deadline for submittals for the pilot program is August 1, 2002. All projects must be closed by June 30th at the end of the bi-annual budget cycle, which requires not only the submission and approval of a final report, but also repayment of any outstanding monies.

1.2   ELIGIBLE APPLICANTS AND PROJECTS

Any local government or political subdivision with taxing authority may apply for Washington State Archives Local Records grant funds. State or Federal agencies are not eligible for this program.

For the pilot program year the proposed project must have the potential to improve records management. A needs assessment will need to be done before applying for a grant.

Planning, Training and Completion of a Records Management Project

 Active records are among the most important records in an agency because they are used the most frequently, cost the most to maintain, and are essential to the current management of the agency. Records management can have the greatest positive impact when applied to active records. Staff training may include the development of a records management policies and procedures framework for ongoing management of its records. Inactive records are those records used infrequently but which must be retained because their retention periods have not yet expired. These records need to be maintained during the inactive phase of their life cycle. Management of inactive records includes procedures for periodic transfer from offices to inactive storage, organizing inactive records storage areas, purchase of shelving, disposing of obsolete records and transfer of archival records to the State Archives.

1.3   GRANT FUNDING

Funding is capped at $20,000 maximum award during the pilot year.

Approved project budget categories eligible for grant funding include:

- Personnel costs, as salary only, for new, part-time or temporary help or existing staff working beyond their normal work hours
- Supplies – general office supplies; consumable items
- Travel that is appropriately and directly related to the project (in state only)
- Consultant fees
- Shelving
- Other services, commodities, etc. pertinent and necessary to the project

1.4   APPLICATION REVIEW AND AWARD PROCESS

The grant review process is a competitive one, with a set amount of grant monies available for distribution. *Projects that meet the criteria of the grant program, that are well conceived, fully described, and adequately supported in a complete application form, will receive the most favorable review*. The Washington State Archives staff may provide assistance and guidance in completing the application prior to the application deadline.

We encourage you to call your regional archivist if you have questions or difficulties with the application form.

Applications for the FY 2003 grant program are due August 1, 2002. Each application is reviewed for completeness, conformity to application requirements, soundness of budget, and relevance to the purpose of the grant program. The Washington State Archives Oversight Committee reviews the applications eligible for consideration and meets in early fall to discuss the submitted proposals and make their award recommendations. Projects may be awarded in full, partially funded, or denied funding. The recommended award list is forwarded to the Secretary of State for approval. Award letters and agreement forms are then mailed to the awarded applicants.
The Secretary of State will conduct an awards ceremony for grantees, generally held in early January. Photographs of the check presentation are taken and media releases prepared and forwarded to each grantee's area newspaper. A reception follows the ceremony; grantees have the opportunity to meet informally with the Secretary, with Washington State Archives staff and administration, as well as their assigned regional archivist. Legislators are also notified of awards within their jurisdictions.

2. GRANT ADMINISTRATION

2.1 General Information

Please review the Grant Program's *Administrative Rules* to familiarize yourself with the grant's requirements.

2.2 Statutory Obligations
Application for and acceptance of grant project funds administered by the Washington State Archives, Office of Secretary of State, obligates the grant recipient to comply with:

RCW 40.30 Open Meeting and Records
RCW 40.04;.40.10;40.14; and 40.20 Public and Business Records
RCW 39.04 as applicable for purchasing procedures
Title VI of the Civil Rights Act, the Rehabilitation Act of 1973,
The Age Discrimination Act of 1975, and the Americans with
Disabilities Act of 1990

2.3 Staff Assistance
Retain this *Application and Guidebook* for your reference and use after award of grant funds. Many questions that will occur as you implement your project are covered in this publication. Additional pertinent information, materials and forms will be forwarded to the project contact after grants are awarded.

The Washington State Archives will assign each grant project to a regional archivist. This individual is available to guide and assist you in successfully completing your project. Questions or assistance requests may be directed to your regional archivist.

2.4 Project Changes

The assigned regional archivist must receive prior, written notification of any change to the grant project. Changes to the grant include, but are not limited to:

- Any pertinent personnel changes, such as authorized official, project contact person, or other project staff carrying out specific project assignments

- Programmatic changes, such as added or deleted record series from microfilming projects.

The State Archivist must receive prior written notification of any budget revisions. Approval of any budget revision must be received by project grantee <u>prior</u> to the expenditure of the desired fund reallocation.

Budget revisions, which are permitted only with official approval from the Washington State Archives is given under the following conditions:
- the original award amount is not exceeded
- the submitted written request includes:
  - the reason for the revision
  - the total dollar amount of funds to be reallocated
  - identification of which budget categories and/or budget line items are to be reduced/increased and by what amount

2.5 Grant Payments

Recipients of grant awards will receive 80% of the award amount as a first grant payment generally by the end of January. The remaining funds due, up to the final 20% of the grant award, will be paid upon submission and approval of the *Final Report*. The total award amount is paid out when the full expenditure of grant funds is documented. Future grants will have a payment and reporting schedule approved prior to the application process.

2.6 Project Bids and Expenditures

All procurements must meet local government purchasing requirements.

Project implementation and expenditure documentation is required to support all grant fund payments made by the Washington State Archives.

The instruction sheet provided with the *Report* forms has examples of approved documentation for commodities and services. Other documentation, may be necessary depending on your particular project. The report forms and instruction sheets are included in the project contact's packet that is mailed after grant award is made.

2.7 Reports

The Washington State Archives Grant Program requires both the narrative and financial components of program progress reports be completed during the project period. Documentation of expenditures and bids is required.

The *Final Report* is due on or before **June 30**. A check for unexpended, previous forwarded grant monies, and/or unexpended interest earned on those monies, must be returned to the Washington State Archives within 60 days of the completion of the project.

Submission of the *Final Report* by early June is highly encouraged to avoid a significant payment delay of several months of any remaining grant monies due the grantee. The state computerized financial system's data migrates to the next fiscal year program during June; no grant payments can be processed until the data migration is completed.

3. APPLICATION PREPARATION TIPS

Step One – Getting Oriented

- READ this *Guidebook and Application* to become familiar with the program

- Determine if your agency, institution or organization is eligible for this grant program and if your proposed project is eligible

- Understand what your responsibilities will be if you are awarded a grant

- Know what information must be included in your application

- Objectively evaluate your resources: do you have a realistic estimate of the funds, staffing and time needed to undertake and complete your project within the grant cycle time frame

NOTE: The best project proposals are focused, achievable and part of a long-term plan.

Step Two – Getting Started

You will want to refer to specific sections as you develop your proposal.
The *Guidebook* will be a ready reference source of information to effectively administer an awarded grant.

- Use the application pages in this packet as MASTERS, save them to make working copies for use during your planning process

- Allow sufficient time to develop a successful proposal

- Do not procrastinate

- Prepare a draft, edit and revise to achieve the best proposal possible

- **Research** to determine realistic costs; don't underestimate the level of staffing and time commitment required. Costs can change; everything will take longer than you expected; anticipate delay and problems

- Contact your regional archivist for assistance if you have questions or need more information about the program in general, the finer details for your type of project, or the application in particular

Step Three – Putting It All Together

Follow the application guidelines, instructions and format.   A submitted application must be complete.

- Use the current Application

- Respond to all the sections

- Arrange the pages in the correct order

- Attach all the appropriate support materials.
- Make your responses clear and to the point; your proposal will be judged on content, not weight

- Check and recheck your budget figures and computations

- Have someone in another agency or office review your draft for clarity, typos, spelling errors, etc.

NOTE: The Washington State Archives staff at the regional branches will be available to assist in preparing and completing your application prior to the submittal deadline.

PROOFREAD THE FINAL DOCUMENT

- Use the *Application Checklist* to assure the application is complete and in the proper order.

- Submit the required six (6) copies: your original application plus five (5) photocopies. **Do not staple, permanently secure or place the original in any type of binding or folder**; secure it with a binder clip or paper clip. Copies may be stapled only.

- **Applications MUST be received or postmarked by August 1, 2002.**

4. APPLICATION INSTRUCTIONS

4.1   Outline of Application Components

- Applicant Identification
- Budget Summary
- Project Proposal Narrative
- Budget and Financial Considerations
- Related Evaluation Factors
- Support Material

4.2   General Instructions

Use the provided application pages and forms as a photocopy master to produce working copies as you develop your application. All pages of the application must be completed and arranged in the correct order. If you choose to produce and submit a word-processed application text rather than the provided pages for the application narrative, you MUST use the same headings and sequence as the application form.

All appropriate support materials MUST be attached to the application.
The original application must be hand-signed by the properly authorized official.
Retain a photocopy of the completed application for your files.

Submit six (6) copies: your original application plus five (5) photocopies. **Do not staple, permanently secure or place the original in any type of binding or folder,** secure it with a binder clip or paper clip. Copies must be stapled.

The Washington State Archives must receive applications delivered or postmarked no later than August 1, 2002

4.3   SPECIFIC INSTRUCTIONS

Applicant Identification
NOTE: For all agency or personnel entries, please provide full name, title, complete address including both street and post office box when appropriate, and zip code. Indicate if the phone and fax listing are the same number. If you wish to correspond by e-mail, please provide your e-mail address.

Senate/Representative Districts – This information is only used for statistical purposes. If you are unsure of the district, please call your local election authority.

Applicant Agency – This is the local government entity, or a sub-unit thereof, or other political subdivision with taxing authority as defined by Washington State Statutes. This agency is generally the direct beneficiary of the applied grant funds.

Federal Employer Identification Number (FEIN) - The FEIN number is necessary to set up your grant payment account.

Authorizing Agency – This is the local government entity or political subdivision with the authority to enter into binding contracts and encumber funds.

Primary Project Contact – This is the individual responsible for implementing the project on a day-to-day basis. The project reports may or may not be completed by this person. The Washington State Archives contact will be with this designated individual for the duration of the grant project.

Application Preparer – This entry identifies the individual responsible for gathering the application information and completing the forms. The Washington State Archives will contact this person should specific information pertaining to the proposed project be required.

Budget Summary: Identify and provide budget category costs and totals. These figures must accurately summarize the budget detail totals provided in your application narrative. Please note that grant funds MUST be equal to the cost of new personnel, vendor, consultant services, or purchased commodities, products, equipment, etc.

Round all figures off to the nearest dollar. Check your figures and computations to verify the costs entered and verify that local match percentages meet grant requirements.

Signature of the Authorizing Official establishes official approval of the submitted project proposal and budget. **The signatory individual must be the authorized local governmental or political subdivision official with the statutory authority to enter into binding contracts and encumber funds for the applicant agency.**

NOTE: The authorized official will also be the signatory agent for the Grant Agreement, which establishes a contractual relationship between Secretary of State, Washington State Archives and the awarded grantee.

Project Proposal Narrative

Statement of Purpose and Goal - This is a brief and clear statement that identifies your problem and how it will be addressed.

Project Summary - Provides more detail for the statement of purpose and goal. It is a description of how the project will be developed and implemented. It describes the current situation, provides an overview of the necessary activities that will address your problem, and states the anticipated result of a successfully completed project.
Detailed Timeline and Work Plan - Lists by specific months, or weeks of the month, the progressive steps that will be accomplished within each time frame. Be sure to allow sufficient preparation time at the beginning of your project and sufficient reporting time at the conclusion of your project. **Your project must be completed**, **well in advance of submission and approval of your *Final Report* on or before June 30, 2003.**

Project Objective/s - Identify the expected result/s or outcome/s you hope to achieve. These are specific, understandable, and when possible, measurable results.

Evaluation of Project Results - How will you identify and/or measure the anticipated result/s of your project? Will there be an improvement in: space allocation, job efficiency, job functions? Are cost savings expected? Are you able to serve the public or perform your duties more effectively?

Budget and Financial Considerations

Budget Detail, Explanation and Justification - Provide a detailed breakdown and cost basis for each component included in the budget category summarized in the *Budget Summary*. Provide a brief statement why these expenditures are appropriate and necessary. <u>The total cost for each budget category on this page should be approximately equal to the totals shown in the *Budget Summary*</u> : remember, the *Budget Summary* figures have been rounded off to the nearest dollar.

<u>**Line Item Entries**</u>

Personnel – Show staff name (or position if new staff is to be hired), pay rate, hours to be worked and total for salary. If benefits are also to be paid, this should also be shown here.

Supplies – List the type, quantity and cost of the desired supplies and materials. Provide a per unit cost and total/s.

Travel – Indicate the destination in state and reason for travel. Show the mileage and cost total at the local reimbursable rate or at the current state rate of 34.5 cents per mile, <u>whichever is lower</u>. When appropriate, meal and lodging costs are listed and included in this budget category.

Consultant – Indicate the general services the consultant will provide in addition to salary and other listed compensation costs. Copies of the consultant's fee estimate or cost proposal and resume **must** be included as an attachment to your application.

Other – The cost of appropriate, project-related equipment or supplies.

Shelving – **ONLY** industrial-type metal shelving can be included here. These shelving units generally consist of four 13- gauge round-edge angle-upright posts drilled with holes at standard intervals. The shelves (30" by 42") are attached with stove bolts and nuts. Depending on the height of the unit, braces may be an additional shelving unit component. Other shelving with similar construction may also qualify. List the per unit cost, the number of units desired, and the total shelving cost. Any vendor installation costs are also included here. ***NOTE: Wood shelving is not funded.***

Funding Source – Explain the need for grant funds and why local funds are not available to fully fund the project.

Interest –Bearing Account – Identify the banking institution or other deposit vehicle in which your grant payments will be held. Interest earned must be reported and either spent on the project or returned to Washington State Archives when the project is completed and the *Final Report* submitted.

Accounting Methods and Audit Procedures – What agency, department, or staff manages your finances? Are existing fiscal checks and balances in place? What type of audit does your agency undergo; who performs such review; and when was your last financial report or audit done?

Related Evaluation Factors

Impact of this Project and its Importance in Terms of Long-Range Planning – Describe the broader effect of meeting your objectives. How will this project fit into your agency's overall management, preservation and access plan?

Future Records Management and Preservation Projects – Are similar or supportive projects being considered by the entity? How will future activities be funded?

Support Material - All appropriate attachments MUST be included with your submitted application.

Required:
Completed *Check Payee* form

Include resumes of project personnel, consultant, volunteers, etc. who will be directly associated with project implementation. Briefly describe each person's regular duties/responsibilities as well as their project responsibilities.

Identify services, supplies, etc.; highlight the specific supply items that will be used.

Complete the necessary forms. Duplicate additional copies as needed.
Include additions such as sample forms, letters of support, etc. as appropriate to your project. If you are requesting shelving include floor plans of the current and projected areas. Show the placement of shelving and any other equipment or furnishings.

If necessary add other relevant information/materials to support your proposal. This may include samples, photographs, and/or descriptions of items or services that are part of the project and have not been noted or illustrated elsewhere in the application.

5. ADMINSTRATIVE RULES

The Washington State Archives Local Records Pilot Grant Program

PURPOSE: This rule outlines the management plan of the grants-in-aid program for local records.

(1)   The Washington State Archives Local Records Pilot Grant Program, administered by the Office of the Secretary of State, provides financial assistance to local government officials to support records management and preservation efforts, particularly for records of permanent retention. This grants-in-aid program is a significant effort in the overall mission of the program to enhance the quality of archival preservation and public access to records of enduring value.

    (A)   Activities supported by the Washington State Archives Local Records Pilot Grant Program:
        1.   Planning
        2.   Records Management
        3.   Preservation
        4.   Conservation
        5.   Professional consultants
        6.   Essential equipment
        7.   Reference tools, and
        8.   Education
        9.   Temporary Help

    (B)   Ineligible Activities:
        1.   Projects already completed
        2.   Expenses incurred prior to the grant period
        3.   Existing/permanent staff positions
        4.   Equipment nonessential to the project
        5.   Capital improvements to buildings
        6.   Payments to lobbyists
        7.   Hospitality expenses
        8.   Prizes/awards
        9.   Benefit activities (social, fundraisers, etc.)
        10.   Educational outreach not available to the public
        11.   Tuition reimbursement for academic credit
        12.   Activities having a religious purpose
        13.   Inventories/guides not available to the public and
        14.   Purchase of manuscripts/records.

(C)   Funding:
      1.   The maximum grant funds that can be requested is twenty thousand dollars ($20,000) for this pilot grant cycle.

(D)   Who is Eligible to Apply:
      1.   All local government entities including special purpose districts.

(E)   Who are **not** Eligible to Apply:
      1.   Individuals
      2.   State agencies (local public records housed by state agencies may be included in a grant application that is submitted and administered by the local official who has statutory authority over the records)
      3.   Private organizations, and
      4.   Federal agencies

(F)   Evaluation of Proposals:
      1.   Washington State Archives staff will review grant applications for completeness, conformity to application requirements, soundness of budget, and relevancy to the objectives of the Washington State Archives Local Records Grant Program. These objectives may be reviewed, in part, by the Washington State Archives Oversight Committee based on, for example, research value and widespread citizen use. The proposal may be returned to the applicant institution for further development or clarification.
      2.   A summary will be prepared by the Washington State Archives for each complete application and forwarded to the Oversight Committee. The committee will review the applications at its annual public meeting and make funding recommendations to the Secretary of State.
      3.   The Office of the Secretary of State will notify the applicant in writing if the proposal has been funded or rejected.

(G)   Grant Application Requirements:
      1.   Identify local government entity and project personnel
      2.   Activity description:
            a.   Statement of purpose and goals
            b.   Project summary
            c.   Detailed analysis of plan, discussion of techniques and a timetable
            d.   Project objectives, and
            e.   Specific end results or products

      3.   Funding Description
            a.   Budget layout
            b.   Budget explanation

   c. Need for outside funding

   d. Funding of future management and preservation projects, and

   e. Local entity's accounting methods and audit procedures.

  4. Relevant Information

   a. Evaluation of results (how will the success or failure be measured)

   b. Statement of any previous actions, and

   c. Description of importance of the project in terms of an overall, long-range record management program

  5. Authorization

   a. Signed and dated by proper official, and

   b. Identification of preparer of the application

  6. Support Material

   a. Letter of commitment from the applicant's funding authority

   b. Resumes of project personnel, consultants, volunteers, etc. and descriptions of their grant-funded duties

   c. Required forms

   d. Identification of necessary services, equipment, supplies, etc., and

   e. Other relevant information

(H) Grant Calendar

  1. The grant period begins on the date of the award issued by the Office of the Secretary of State.

  2. Grant projects must be completed in the awarded biennium (January 1 through June 30).

  3. Grant funding payments.

   a. A first payment of eighty percent (80%) shall be made upon award. The final twenty percent (20%) of the grant shall be paid to the grantee after successful completion and verification by the Washington State Archives staff of the Office of the Secretary of State.

   b. All unused grant funds and interest in possession of the grantee must be returned to the Washington State Archives Local Records Pilot Grant Program, within 60 days of completion.

(I) Accounting

Grantees must keep financial records for each grant in accordance with agreed upon accounting practices and apply approved record retention schedules. These records, as public records, shall be subject to inspection by the Washington State Archives staff and the Oversight Committee

during regular business hours throughout the grant period. If any litigation, claim, or audit is begun before the end of the retention period, records must be retained until such proceeding is resolved.

(J)   Auditing Requirements
Grantees must comply with the audit requirements set forth in Washington statutes for local government units. The grantee is responsible for ensuring that the Washington State Archives receives copies of the audit report for any audit performed during the grant period or for the following three (3) years. Specific accounting requirements for the Washington State Archives Local Records Pilot Grant Program are:

1. Grant money must be deposited in an auditable, interest-bearing account. Interest received must be applied to the project.
2. Grant work must be monitored in progress. The Washington State Archives staff may visit the work site for review at any time during the project.
3. The grantee must submit one project interim report by March 15th.
4. Changes in the approved project, including changes of personnel, must be requested in writing to the Washington State Archives, Local Records Pilot Grant Program.
5. In the case of default by the grantee, the grant will be revoked and all unused funds must be returned to the Washington State Archives Local Records Pilot Grant Program. The Washington State Archives will notify the grantee of default in writing.
6. The grantee shall prepare a final report about the grant project by June 30.
7. Grantees must submit copies of all invoices with the final report, and
8. Grantees must adhere to local and state bid requirements and submit documentation with their final report.

(K)   Conflicts of Interest
1. The Washington State Archives Oversight Committee will not consider a proposal where a committee member or a member of the Secretary of State's staff derives compensation.
2. A board member shall abstain from reviewing or voting on proposals if she/he is directly or indirectly connected with a proposed project through employment at the same institution, indirectly supervises the project, or serves as an unpaid consultant to the project.

6. SAMPLE APPLICATION PAGES

Sample application forms/pages included in this section include:

Applicant Identification

Budget Summary

Budget Formulation

6.1 APPLICATION FORM   *~~<u>SAMPLE</u>~~*

Washington Secretary of State
Washington State Archives Local Records Grant Program
FY 2003 Grant Application

State Representative District: <mark>164</mark>   *State Senate District:* <mark>10</mark>

Applicant Agency: Chelan County Clerk   **County:** Pitt

Agency Head: Siri Woods

Address: Chelan County Courthouse,
      350 Orondo St
      Wenatchee, WA 98801

Telephone: 509.667.6380   Fax: 509.664.2611   E-mail: siri.a.wood.@co.chelan.wa.us

Federal Employer Identification Number (FEIN): 44-44030020

Authorizing Agency (if different from above): Chelan County Commission

Authorizing Official/Title: Isaac Neville Charge, Presiding Commissioner

Address: ChelanCounty Courthouse,
      350 Orondo St
      Wenatchee, WA 98801
Telephone: 509.123.1234   Fax: 509.123.1235   E-mail: xxxx@co.chelan.wa.us

Primary Project Contact: Wright Hand, Deputy Clerk

Address: Chelan County Courthouse,
      350 Orondo St
      Wenatchee, WA   98801

      Telephone: 509.123.1234   Fax: 509.123.1235   E-mail: handwr@co.chelan.wa.us

Application Prepared by:

Name/Title: Wright Hand, Chelan County Deputy Clerk   Date: 7/20/02
Telephone: 509.123.1234   Fax: 509.123.1234   E-mail: handwr@co.chelan.wa.us

6.2 BUDGET SUMMARY ~~ *SAMPLE~~*

BUDGET CATEGORY	GRANT FUNDS REQUESTED
Personnel	6,562
Supplies	1,500
Travel	500
Vendor	
Consultant	2,500
Other: Specify	
Shelving (Standard Metal)	8,500 (including tax)
Subtotal	19,562

Budget Category Subtotal   **$19,562**

Total Grant Funds Requested: **$19,562**

Certification of Authority to Secure and Encumber Project Funds

John Q. Official, Mayor   *JohnQ.Official*
Printed Name/Title of Authorizing Official   *Printed Name/Title of Authorizing Official*

Date   July 9, 2002

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6.3 BUDGET FORMULATION   ~~_SAMPLE_~~

Project components are funded at 100% of the total project cost.

Personnel estimate = $ 6,562(525hours x $12.50/hr)
Estimated Supply costs = $ 1,500 (for folders and boxes)
Consultant estimate = $ 2,500
Travel =   500
Shelving quote = $ 8,500
                    subtotal = $19,562

Total budget breakdown:
Grant Funds Total Request = $19,562

NOTE:
Grant funds MUST equal the cost of new personnel/consultant services, and purchased commodities/products/shelving.

Round your figures off to the nearest dollar to show whole dollar amounts for the Budget Summary.

7. WASHINGTON STATE ARCHIVES

LOCAL RECORDS PILOT GRANT

FORMS

Washington Secretary of State
Washington State Archives Local Records
Grant Program
FY 2003 Grant Application

State Representative District: *State Senate District:*

Applicant Agency: **County:**

Agency Head:

Address:

Telephone: Fax: E-mail:

Federal Employer Identification Number (FEIN):

Authorizing Agency (if different from above):

Authorizing Official/Title:

Address:

Telephone: Fax: E-mail:

Primary Project Contact:

Address:

Telephone: Fax: E-mail:

Application Prepared by:

Name/Title: Date:

Telephone: Fax: E-mail:

BUDGET CATEGORY	GRANT FUNDS REQUESTED
Personnel	
Supplies	
Travel	
Vendor	
Consultant	
Other: Specify	
Shelving (Standard Metal)	
Subtotal	

Budget Category Subtotal $_____

Total Grant Funds Requested: $

Certification of Authority to Secure and Encumber Project Funds

_____   _____
Printed Name/Title of Authorizing Official   *Printed Name/Title of Authorizing Official*

Date _____

(Attach additional pages if necessary)

Statement of Purpose

Project Summary

Detailed Timeline and Work Plan

Project Objectives

Evaluation of Project Results

Budget Detail, Explanation, and Justification

Interest-bearing Account Information

Accounting Methods and Audit Procedures

Statement of Previous Actions

Impact of this Project and its Importance in Terms of Long-Range Planning

Future Records Management and Preservation Actions

SUPPORT MATERIAL

Required:
Check Payee form
Resumes of project personnel, consultant, volunteers, etc.

Required Project Specific:
Identification of services, equipment, supplies, etc.
Other relevant information/materials as applicable

GRANT APPLICATION QUESTIONAIRE
Local Records Grant Program FY 2003

The grant application process revolves around a series of questions developed to determine the type, value and location of your records management needs.

The following specific questions have been developed for your use. Your regional archivist will be available to assist you with questions on the familiar and unfamiliar aspects of this evaluation process.

This information will be used in the grant application review.

1.) Who owns the Records?

Examples: Do the records belong to more than one agency or jurisdiction?

2.) Where are the Records?

What is the physical location of the records?

Examples: Are they in an office, storeroom, vault, basement, loft, or warehouse? What floor of the facility are they on?

What is the accessibility to the records?

Examples: Do you have to climb stairs up or down to get to the records? Is there elevator access? Do you have to climb a ladder to get to them? Are they in a secured area requiring special access? Are there times during the day that access to the records would not be possible?

Can the records processed in this pilot be moved to a different storage facility if it is determined that the area currently being used in inadequate or detrimental?

3.) Why are the Records where they are?

Are there any particular reasons the records are where they are and in the current shape they are in?

Examples: inadequate facility space, audit, fire, natural disaster, criminal investigation, lawsuit, neglect?

4.) What are the Records?

What records exist?

Examples: correspondence, reports, audits, budgets, licenses, drawings, maps, payroll, receipts, time cards, artifacts, photographs, microfilm, microfiche, photos, videos, movies, slides etc.

Are any of these records sensitive or confidential?

Are different media intermingled in the files?

Are there any existing file indexes or records inventories available for these records units?

Is there anyone on the staff who knows anything about the history of these records?

5.) How many Records are we talking about?

How many records boxes are there?

Example: How many boxes are there in these various sized boxes: records letter, records legal, moving, copy paper?

Are the records boxes on any kind of standardized records shelving?

If so, what is the condition of the shelving units?

How many records are in file cabinets or open shelving units?

Example: How many file cabinet drawers and/or open shelves are there?

6.) What is the overall condition of the Records?

What is the physical condition of the records?

Examples: Are they clean, dirty, dry, water damaged, pest damaged, etc.?

Are the records in good condition but the boxes or filing cabinets that house them in poor condition?

7.) What working space is available?

If the records are currently in an unsuitable or hazardous location, is there a suitable location available to move them to for processing?

Suitable space would include:

An open and reasonably ventilated area.
Acceptable lighting.
Adequate security.
Loading dock or pallet access.
Access to electrical outlets for laptop computers.
Is there access to recycling and garbage pick-up and shredding services?

7.) What working equipment is available?

Examples: hand-trucks, ladders, step stools, working tables and chairs, pallet jack, etc.

8.) What are the Records used for?

Examples: What are the records' function, purpose & contents? Do they serve different purposes for different users?

How old are the records?

Are they originals, copies or duplicates? Do we need copies or duplicates, if so, how many?

What is the growth rate of the records series?

9.) How are the Records asked for?

Example: How often are the records asked for and by whom?

10.) What is the value of the records and how long are they to be kept?

Example: What are the retention and disposition regulations governing the records and their copies?

Are the records essential (vital) records?

Could the records go to the State Archives if properly boxed and indexed?

11.) What physical facility and equipment issues need to be addressed?

Example: Will new or additional shelving be needed?

Are there environmental issues having to due with safety during clean-up and disposition of records after clean-up? (I.e. will staff need to wear protective masks, aprons and gloves?)

12.) What resources will the applicant need?

Example: State Archives personnel training for project development?

State Archives personnel training on records retention scheduling?

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Additional temporary staff to complete the pilot project?

What volume of new standard Archives boxes and labels are needed?

Washington Secretary of State
Washington State Archives Local Records Grant Program
FY 2003 Grant Application

CHECK PAYEE FORM

This form identifies the agency/institution/organization grant checks will be made payable to and the individual designated to receive mailed checks if electronic direct deposit is not requested.

Check Payee Information:

List the name and address of the check payee – <u>do not include an individual's name,</u> **only the name and address of the agency to which the check must be made payable.**

AGENCY: _____

ADDRESS: _____
               (Include city, state, and zip)

Please indicate the individual to whom grant payments should be mailed. This person may be the project contact, or other designated individual representing the applicant or authorizing agency. **The check and/or other payment information will be mailed directly to this individual.**

NAME: _____

ADDRESS: _____
               (Include city, state, and zip)

TELEPHONE: _____

FY 2003 Application Checklist

Use this checklist to review your application before submitting it. Applications will be returned for more information, and may be considered ineligible, if the following items are incomplete or missing.

APPLICANT IDENTIFICATION
Senate/Representative Districts Provided
Applicant, Government Entity and Project Contact Identified
Federal Employer Identification Number (FEIN) Provided
"YES" or "NO" Decision Checked for Electronic Fund Transfer
Application Preparer Identified

BUDGET SUMMARY
Summary Sheet Completed and Budget Detail Totals Correct
Authorized Official's Signature Included

PROJECT PROPOSAL NARRATIVE includes
Statement of Purpose
Project Summary
Timeline and Detailed Work Plan
Project Objectives
Evaluation of Project Results

BUDGET AND FINANCIAL CONSIDERATIONS
Budget Detail, Explanation and Justification Provided
Funding Source Indicated
Interest-bearing Account Information Provided
Accounting Methods and Audit Procedures Addressed

RELATED EVALUATION FACTORS
Statement of Previous Actions
Project Impact and Importance of Project in Terms of Long Range Planning
Future Records Management and Preservation Projects

ATTACHMENTS
Grant application questionnaire
Check Payee form
Resumes of project personnel, consultant, volunteers, etc.
Identification of services, equipment, supplies, etc.
Other or Project specific relevant materials as appropriate:
Other relevant information, if applicable

**Paper or binder-clipped Original plus 5 photocopied applications for submission
Delivery or postmark ensured for August 1, 2002.**

Chelan County's Record Management Project

Lincoln County's devastating fire made many of us take a second look at how we were storing records. In 1999 Chelan County undertook the mammoth project of reevaluating and revamping the way we kept our records. We moved the archival records to the Regional Archives Office, and set up a modern and easy to use records retention system for non-permanent records. It took one staff person with a full-time assistant 3 months plus an additional month of the staff person's time to complete the project. We are thrilled with the results.

Our records room consisted of a dark, dingy basement vault whose integrity had been compromised over the years by steam pipes and miles of telephone, computer and electric cables. It also served as the graveyard for broken office equipment and anything people didn't know what to do with. The Regional Archivist, Tim Eckert and his staff were the key to the entire project. They reviewed the vault prior to the project offering advice and suggestions. We then spent one day in Ellensburg at the archives office receiving training on how to inventory as well as proper retention and destruction procedures. They armed us with all the tools we needed and allowed us to do hands-on practice while we were there so that we could apply the principles we had just learned. ***This training was invaluable.***

The first thing that was done was a complete inventory of everything that was in the vault. We mapped out the vault giving every shelf an alpha and numeric designation. Each item was documented as to its content and location in the vault using these designations so that it could be easily found again later. It was so dark that some of the inventory had to be done with a flashlight. Taking inventory was the most time consuming and difficult part of the project.

Next the status of each item was determined. Using the Records Retention guide and numerous phone calls to the Archives office we determined whether items would be kept, moved to archives, or destroyed. Any items going to archives that had not been microfilmed yet were the first priority. Those were taken to a vendor and filmed so that we would have copies on hand if needed. Then the archival items were taken to the Regional Archives Office for preservation and protection. The items that were going to be destroyed were carefully documented prior to their destruction.

After we inventoried and moved the archival records to Ellensburg we started revamping the arrangement of the room to make it more user friendly. The wooden shelving (the high acid content of wood harms paper records) was torn down and replaced with metal shelving and archival appropriate storage boxes, all new lighting was installed, a phone, copy machine, work center were added, and the walls and ceiling were repainted all bright white to further brighten the room up. The room was again mapped out and divided up by department then assigned alpha and numeric designations.

All the items that we kept were moved into water resistant archival storage boxes. The boxes were inventoried, labeled and arranged by department, contents, year and destruction date. The **only** records that are kept in the new "Records Retention Center" are those that are scheduled for periodic destruction. No archival records are stored in this vault. A records database was created which contains the year, record title, content description, length of retention, and destruction date. The locks were changed on the room to limit access to the records. A key must now be checked out from the records caretaker.

We set up an annual destruction schedule to maintain this room for the future. Now in an instant we have access to everything that is in the Records Center. With the help of a map of the room even an inexperienced person can walk right to the record they would like to find. This has been a tremendous help to the State Auditor's office during their annual audits. It also cuts down on the county's staff time trying to locate records for the Auditors.

One of the most important things we have learned is that timely destruction is as equally important as accurate retention. Records that are kept beyond their retention period can be used in court if requested. Random destruction appears careless and secretive.

We moved over 6 tons of materials out of that vault. The archival materials went to the State Archives Regional office, what was not considered archival was loaned to museums. The rest was either garbage or records that were long past their destruction date.

The benefits to a project to a project like this far out way any time or monetary cost involved with completing it. As public stewards of the records it is our responsibility to ensure that these records will be preserved for years to come.

Tucked away in abandoned drawers we found treasurers of years past. Original homestead land patents, water rights, mining claims, 100 year old warrants, and the original bid for building our courthouse just to name a few.

Some of the records maintained in our vault were the only copy in existence. For instance all the original Articles of Incorporation for Chelan County dating back to 1884 were located in the vault and they had not ever been microfilmed. The oldest Articles of Incorporation were for the City of Wenatchee, Chelan County's oldest city. They were in such delicate condition that in just a couple of more years of being stored the way they were they would have deteriorated completely. As it is we now have microfilmed copies of these important documents and the originals are preserved safely in the Regional Archive Office.

Our 1924 courthouse could not possibly keep up with today's technology demands. All the original fire-proof, water-proof vaults have long since been comprised because of the need for more water, more phones, and higher electrical demands. A single water pipe breaking would have destroyed all of these records, not to mention a fire or other natural disaster.

Secondary to preserving these irreplaceable records, was creating a better way of keeping and destroying non-permanent records. We heard about a particular court case involving a public entity which had kept their records well beyond the required retention period. Because they had kept the records they could be used in court. They were forced to spend about $10,000 to pay someone to go back through years of records and search for information to fight a court case they were involved in. That is a scary thought to a public office. By retaining records only for the length of time designated by law and then destroying them in a timely manner your integrity could never be called into question if you were taken to court. This offers a peace of mind that is priceless.

We have saved so many county staff hours spent searching for old documents to have paid for the project twice over. The "vault" used to be a place everyone hated to go. Now it is a functional records center that is easy to use and maintain. This project is truly one we are very proud of.

BEFORE PHOTO

AFTER PHOTO